

Consolidated Entity Account Form

This form is provided for entities that have a direct corporate association to apply for a consolidated entity account (CEA) and to specify which members of the association should be included in the account. Individual entities will use the same form to confirm that they wish to be included or that they wish to opt out of consolidation. Entities will use this form to comply with section 95833(f) of the Cap-and-Trade Regulation.

Account representatives may be the ones identified during the registration process conducted in January 2012, new representatives identified to ARB by the entity, or those identified in the CITSS account application process if that step has been completed. New account representatives may be designated by applying for an account in the CITSS.

General Instructions

Please read this section to see which parts of the form you need to fill out. No entity will fill out all parts. Each entity that is applying for a CEA, confirming inclusion in a CEA, or confirming a choice to opt out of a CEA must complete and sign a separate Consolidated Entity Account Form. The entity applying for a CEA must apply for an account in the Compliance Instrument Tracking System Service (CITSS) and designate a Primary Account Representative (PAR) and Alternate Account Representative (AAR) in the CITSS account application process. In the CITSS account application process a CITSS Entity ID number will be assigned to the CEA. It is recommended that all documentation for account consolidation be submitted with the documentation required in the CITSS account application process. Staff encourages the CEA forms, opt-out requests, or confirmations of inclusion in the CEA to be submitted to ARB together for all entities with a direct corporate association. However, staff understands logistics may require the separate submittal of information by different entities in the direct corporate association.

Part One and Part Two are filled out ONLY by a representative of an entity applying for a CEA.

Part Three is filled out ONLY by a representative of an entity with a direct corporate association with all the entities included in the CEA that is confirming inclusion in the CEA.

Part Four is filled out ONLY by the representative of an entity with a direct corporate association with all the entities included in the CEA but is choosing to opt out of consolidation.

Part Five is filled out ONLY by a representative of an entity that is confirming the decision of another entity to opt out of consolidation.

Attachment A may be used by a representative of an entity applying for a CEA to track the appropriation of the holding and purchase limits between the CEA and any entities opting out of the CEA. Any inconsistencies between the holding and purchase limits in the forms submitted by a CEA and entity choosing to opt out may delay the approval of the CEA and opt out request.

Part One**Application for a Consolidated Entity Account**

Instructions: Part One is filled out ONLY by a representative of an entity applying for a CEA.

Provide the Entity Legal Name, Greenhouse Gas (GHG) Emissions Reporting ID number (if applicable), and mailing address for the entity applying for the CEA. This information must be consistent with information entered in the CITSS. So we can match information to the January 2012 registration data, indicate if the entity registered for the cap-and-trade program in January 2012.

The attestation for Part One must be signed by a PAR or AAR designated in the CITSS account application process.

Applying Entity Information			
Entity Legal Name	GHG Reporting ID # if covered or opt in entity	Check if You Registered in January 2012	Mailing Address
		<input type="checkbox"/>	

Account Representative Attestation

1. By signing this attestation, I certify under penalty of perjury under the laws of the State of California that I have personally examined, and am familiar with, the statements and information submitted in Parts 1 and 2 of this document and related attachments. Based on my inquiry of those individuals with primary responsibility for obtaining the information, I certify under penalty of perjury under the laws of the State of California that the statements and information submitted to ARB are true, accurate, and complete. I consent to the jurisdiction of California and its courts for purposes of enforcement of the laws, rules, and regulations pertaining to title 17, article 5, sections 95800 et seq., and I am aware that there are significant penalties for submitting false statements and information or omitting required statements and information.

X_____ Date_____

Signature of Account Representative

Check if you were not the representative identified in the January 2012 program registration. ☐

And, fill out Part Two

Part Two**Request to Include Other Direct Corporate Associate Entities in a Consolidated Entity Account**

Instructions: Part Two is filled out ONLY by the representative of an entity applying for the CEA that also filled out Part One. Part Two is used to confirm a PAR or AAR for the CEA and to inform ARB which other reporting entities should be included in the CEA. The account representative listed for the entity applying for the creation of the CEA must be the same as a PAR or AAR designated in the CITSS account application process.

Name of Account Representative for the CEA: _____

For each direct corporate associate you request to be added to the CEA, enter the information requested in the table below. Please ensure the information is consistent with the information submitted in the CITSS Corporate Associations and Structure Form in the CITSS account application process for the entity applying for the CEA.

Direct Corporate Associate Information			
Entity Legal Name	GHG Reporting ID # if covered or opt in entity	Check if You Registered in January 2012	Mailing Address
		<input type="checkbox"/>	
		<input type="checkbox"/>	
		<input type="checkbox"/>	
		<input type="checkbox"/>	
		<input type="checkbox"/>	
		<input type="checkbox"/>	
		<input type="checkbox"/>	
		<input type="checkbox"/>	
		<input type="checkbox"/>	
		<input type="checkbox"/>	
		<input type="checkbox"/>	

Part Three Confirmation of Intent to Be Included in a Consolidated Entity Account

Instructions: Part Three is filled out ONLY by a representative of the direct corporate associate entity that will be included in the CEA. The representative first identifies the entity that applied for the CEA they will be included in and then they identify the entity that is to be included in the CEA.

Enter Identification Information For Entity That Applied for the CEA:

Entity That Applied for the CEA		
Entity Legal Name	GHG Reporting ID # if covered or opt in entity	Mailing Address

Enter Identification Information For Entity That Is Confirming Inclusion In the CEA:

Entity Requesting Inclusion in CEA		
Entity Legal Name	GHG Reporting ID # if covered or opt in entity	Mailing Address

The account representative for the entity submitting this request must complete the following attestation:

Account Representative Attestation

1. By signing this attestation, I certify under penalty of perjury under the laws of the State of California that I have personally examined, and am familiar with, the statements and information submitted in Part 3 of this document and related attachments. Based on my inquiry of those individuals with primary responsibility for obtaining the information, I certify under penalty of perjury under the laws of the State of California that the statements and information submitted to ARB are true, accurate, and complete. I consent to the jurisdiction of California and its courts for purposes of enforcement of the laws, rules, and regulations pertaining to title 17, article 5, sections 95800 et seq., and I am aware that there are significant penalties for submitting false statements and information or omitting required statements and information.

X _____ Date _____

Signature of Account Representative

Check if you were not the representative identified in the January 2012 program registration. ☐

Part Four Request to Opt Out of Inclusion in a Consolidated Entity Account

Instructions Text Box: Part Four is filled out ONLY by a representative of an entity that does not want to be included in a CEA. Note that there may be multiple CEAs containing entities with which the applicant has a direct corporate association. Thus, the entity may have to request opt-out from more than one CEA. The entity may also be included in one CEA by filling out Part Three while opting out of others in Part Four.

Enter identification information for any entity that has applied for a CEA, with whom the entity that is requesting an opt-out has a direct corporate association.

Entity Legal Name	GHG Reporting ID # if covered or opt in entity	Mailing Address

Enter Identification Information for the entity that is confirming NOT be included in the CEA(s) listed above. The entity must enter its share of the purchase and holding limits agreed to by the other members of its direct corporate association.

Entity Legal Name	GHG Reporting ID # if covered or opt in entity	Mailing Address

An officer of the entity submitting this request, who is responsible for the account representatives for the entity, must complete the following attestation:

Attestations

1. By signing this attestation, I certify under penalty of perjury under the laws of the State of California that I have personally examined, and am familiar with, the statements and information submitted in Part 4 of this document and related attachments. Based on my inquiry of those individuals with primary responsibility for obtaining the information, I certify under penalty of perjury under the laws of the State of California that the statements and information submitted to ARB are true, accurate, and complete. I consent to the jurisdiction of California and its courts for purposes of enforcement of the laws, rules, and regulations pertaining to title 17, article 5, sections 95800 et seq., and I am aware that there are significant penalties for submitting false statements and information or omitting required statements and information.

X _____ Date _____
Signature of Officer

An authorized representative for the entity submitting this request must confirm the opt-out decision and provide the shares of the direct corporate association’s purchase and holding limits. The shares of the direct corporate association’s purchase and holding limits provided below represent the one entity confirming not to be included in the CEA.

Holding and Purchase Limits	
Holding Limit (%)	Purchase Limit (%)

Account Representative Attestation

1. By signing this attestation, I certify under penalty of perjury under the laws of the State of California that I have personally examined, and am familiar with, the statements and information submitted in this document and all its attachments. Based on my inquiry of those individuals with primary responsibility for obtaining the information, I certify under penalty of perjury under the laws of the State of California that the statements and information submitted to ARB are true, accurate, and complete. I consent to the jurisdiction of California and its courts for purposes of enforcement of the laws, rules, and regulations pertaining to title 17, article 5, sections 95800 et seq., and I am aware that there are significant penalties for submitting false statements and information or omitting required statements and information.

X_____Date_____

Signature of Account Representative

Check if you were not the representative identified in the January 2012 program registration. ☐

Part Five Confirmation of an Opt-Out Confirmation By Operator of a Consolidated Entity Account or By Another Direct Corporate Associate Opting Out of Consolidation

This is filled out by:

- An account representative of a direct corporate associate of an entity requesting to opt out of consolidation, where no CEA will be created for the direct corporate association, OR
- An account representative of the entity that operates a CEA and wants to confirm a direct corporate associate's decision to opt out.

Enter Identification Information for Either:

- Entity applying for a CEA
- Direct corporate associate also opting out of consolidation

Entity Operating a CEA/DCA also Opting Out		
Entity Legal Name	GHG Reporting ID # if covered or opt in	Mailing Address

Enter Identification Information for the Entity That Is Requesting to NOT be included In a CEA:

Entity Confirming Not to be Included in CEA		
Entity Legal Name	GHG Reporting ID # if covered or opt in	Mailing Address

Enter the Holding and Purchase Limit Share for the Entity that is Requesting to Not be included in a CEA as the percentage share of the total Holding and Purchase Limits:

Holding and Purchase Limits	
Holding Limit (%)	Purchase Limit (%)

The account representative for the CEA specified above must sign the following attestation:

Account Representative Attestation

1. By signing this attestation, I certify under penalty of perjury under the laws of the State of California that I have personally examined, and am familiar with, the statements and information submitted in this document and all its attachments. Based on my inquiry of those individuals with primary responsibility for obtaining the information, I certify under penalty of perjury under the laws of the State of California that the statements and information submitted to ARB are true, accurate, and complete. I consent to the jurisdiction of California and its courts for purposes of enforcement of the laws, rules, and regulations pertaining to title 17, article 5, sections 95800 et seq., and I am aware that there are significant penalties for submitting false statements and information or omitting required statements and information.

X_____Date_____
Signature of Account Representative

Attachment A. Optional Holding and Purchase Limit Balancing Sheet

This table may be used by the CEA to ensure that the appropriation of the holding and purchase limits between the CEA and any opt outs sum to 100%.

Entity Legal Name (CEA & any opt outs in the direct corporate association)	Holding Limit (%)	Purchase Limit (%)